



1600

JC20 Rec'd PCT/PTO SEP 10 2001

RECEIVED

OCT 10 2001

TECH CENTER 1600/2900

In re application of:

Harish C. Joshi, Keqiang Ye,  
Judith Kapp, and Fuqiang Liu

Serial No.: 09/582,375

Group Art Unit: 1614

Filed: September 26, 2000

Examiner:

For: NOSCAPINE DERIVATIVES,  
USEFUL AS ANTICANCER  
AGENTS

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Attorney Docket No. EMU144;  
E2690/199298  
Date: 9/7/01

**SECOND REQUEST FOR ISSUANCE OF A CORRECTED FILING RECEIPT**

Sir:

Applicants respectfully request issuance of a corrected filing receipt in the above-identified patent application making the following correction.

Kindly correct the name of the second inventor. The inventor's first given name is --Keqiang--. The inventor's family name is --Ye--. Enclosed are copies of the first page of the published PCT application and the executed Combined Declaration for Patent Application confirming the correct name.

Respectfully requested,

Bruce D. Gray  
Reg. No. 35,799

KILPATRICK STOCKTON LLP  
Suite 2800  
1100 Peachtree Street  
Atlanta, Georgia 30309-4530  
(404) 815-6218

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY  
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER

RECEIVED

As a below named inventor, I hereby declare that:

OCT 10 2001

My residence, post office address and citizenship are as stated below next to my name

TECH CENTER 1600/2900

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Noscapine Derivatives, Useful as Anticancer Agents

the specification of which (check only one item below):

☐

is attached hereto

☐

was filed as United States application

Serial No. \_\_\_\_\_

on \_\_\_\_\_

and was amended

on \_\_\_\_\_

(if applicable).

☒

was filed as PCT international application

Number PCT/US98/14979 on 20 July 1998,

and was amended under PCT Article 19

on \_\_\_\_\_

(if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United State code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (of PCT indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119	
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO

PTO 1391 (rev 10 83)

Page 1 of 3

US DEPARTMENT OF COMMERCE Patent and Trademark Office

(Combined Declaration For Patent Application and Power of Attorney --PTO 1391 [13-11]--page 1 of 2)

639632

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (CONTINUED) (Includes Reference to PCT International Applications)				ATTORNEY DOCKET NUMBER <b>EMU144NAT</b>	
<p>I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:</p>					
<b>PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:</b>					
<b>U.S. APPLICATIONS</b>			<b>STATUS (Check One)</b>		
U.S. APPLICATION NUMBER	U.S. FILING DATE		PATENTED	PENDING	ABANDONED
60/057,037	19 August 1997 (19.08.97)				X
<b>PCT APPLICATIONS DESIGNATING THE U.S.</b>					
PCT APPLICATION NO	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			
<p><b>POWER OF ATTORNEY:</b> As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (<i>List name and registration number</i>) Charles Y. Lackey 22,707; John M. Harrington 25,592; John S. Pratt 29,476; A. Jose Cortina 29,733; James L. Ewing, IV 30,630; Charles W. Calkins 31,814; George T. Marcou 33,014; Dean W. Russell 33,452; Richard T. Peterson 35,320; Charles T. Simmons 35,359; Nora M. Tocups 35,717; Bruce D. Gray 35,799; Theodore R. Harper 35,890; Kristin L. Johnson 44,807; Geoff L. Sutcliffe 36,348; Pat Winston Kennedy 36,970; Mitchell G. Stockwell 39,389; Michael J. Turton 40,852; Yoncha L. Kundupoglu 41,130; Benjamin D. Driscoll 41,571; Wilburn L. Chesser 41,668; Alana G. Kriegsman 41,747; J. Steven Gardner 41,772; James J. Bindseil 42,326; Richard H. Lilley 42,803; Edwina Thomas Washington 43,187; Camilla Camp Williams 43,992; Carl B. Massey P44,224; R. Whitney Winston P44,432; John William Ball, Jr. P44,433</p>					
<p>Send Correspondence to: John S. Pratt, Esq. Kilpatrick Stockton LLP 1100 Peachtree Street, Suite 2800 Atlanta, GA 30309-4530</p>				<p>Direct Telephone Calls to: (<i>name and telephone number</i>) Bruce D. Gray (404) 815-6218</p>	
2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME		SECOND GIVEN NAME
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY		COUNTRY OF CITIZENSHIP
1	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY		STATE & ZIP CODE/COUNTRY
		1433 Oak Grove Drive	Decatur		Georgia 30333 USA
2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME		SECOND GIVEN NAME
0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY		COUNTRY OF CITIZENSHIP
2	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY		STATE & ZIP CODE/COUNTRY
		2628 Northeast Expressway, Apt. N12	Atlanta		Georgia 30345 USA
<p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.</p>					
SIGNATURE OF INVENTOR 201			SIGNATURE OF INVENTOR 202		
Harish C. Joshi <i>Harish C. Joshi</i>			Keqiang Ye		
DATE			DATE		
8/28/2000					

639632

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

(Includes Reference to International Applications)

002

ATTORNEY RECORD NUMBER

BMUI44NAT

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE		PATENTED	PENDING	ABANDONED
60/057,037	19 August 1997 (19.08.97)				X
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number) Charles Y. Lackey 22,707; John M. Harrington 25,592; John S. Pratt 29,476; A. Jose Cortina 29,733; James L. Ewing, IV 30,630; Charles W. Calkins 31,814; George T. Marcou 33,014; Dean W. Russell 33,452; Richard T. Peterson 35,320; Charles T. Summons 35,359; Nora M. Tacups 35,717; Bruce D. Gray 35,799; Theodore R. Harper 35,890; Kristin L. Johnson 44,807; Geoff L. Sutcliffe 16,348; Pat Winston Kennedy 36,970; Mitchell G. Stockwell 39,389; Michael J. Turton 40,852; Yoncha L. Kundupoglu 41,130; Benjamin D. Driscoll 41,571; Wilburn L. Chesser 41,668; Alana G. Kriegerman 41,747; J. Steven Gardner 41,772; James J. Bladsell 42,324; Richard H. Lilley 42,803; Edwinna Thomas Washington 43,187; Camilla Camp Williams 43,992; Carl B. Masey P44,224; R. Whitney Winstan P44,437; John William Ball, Jr. P44,433

Send Correspondence to: John S. Pratt, Esq.

Kilpatrick Stockton LLP  
1100 Peachtree Street, Suite 2800  
Atlanta, GA 30309-4530

Direct Telephone Calls to: (name and telephone number)

Bruce D. Gray  
(404) 815-6218

2	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
1	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
1	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY
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2	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 1st	SIGNATURE OF INVENTOR 2nd
Harish C. Joshi	Kegiang Ye
DATE	DATE
	06/20/00

FIG 1131 (Rev. 10-85)  
CIVIL

Page 2 of 3

U.S. DEPARTMENT OF COMMERCE Patent and Trademark

639632

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (CONTINUE) (Includes Reference to PCT International Applications)				ATTORNEY DOCKET NUMBER <b>EMU144NAT</b>	
<p>I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:</p>					
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U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED	
60/057,037	19 August 1997 (19.08.97)			X	
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PCT APPLICATION NO	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (If any)			
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<b>Send Correspondence to:</b> John S. Pratt, Esq. Kilpatrick Stockton LLP 1100 Peachtree Street, Suite 2800 Atlanta, GA 30309-4530				<b>Direct Telephone Calls to:</b> (name and telephone number) Bruce D. Gray (404) 815-6218	
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SIGNATURE OF INVENTOR 201			SIGNATURE OF INVENTOR 202		
Judith Kapp <i>Judith Kapp</i>			Fuqiang Liu		
DATE 3/14/00			DATE		

COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (CONTINUATION) (Includes Reference to PCT International Applications)				ATTORNEY DOCKET NUMBER <b>EMU144NAT</b>	
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:					
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Send Correspondence to: John S. Pratt, Esq. Kilpatrick Stockton LLP 1100 Peachtree Street, Suite 2800 Atlanta, GA 30309-4530				Direct Telephone Calls to: (name and telephone number) Bruce D. Gray (404) 815-6218	
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0	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY		COUNTRY OF CITIZENSHIP
1	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY		STATE & ZIP CODE/COUNTRY
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.					
SIGNATURE OF INVENTOR 201		SIGNATURE OF INVENTOR 202			
Judith Kapp		Fuqiang Liu			
DATE		DATE			
		March 30, 2000			



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/582,375	09/26/2000	1614	217	EMU144NAT		4	4

CONFIRMATION NO. 8143

## CORRECTED FILING RECEIPT



\*OC00000006384999\*

John S Pratt  
Kilpatrick Stockton  
Suite 2800  
1100 Peachtree Street  
Atlanta, GA 30309-4530

Date Mailed: 08/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Kegiang Ye

Harish C. Joshi, Decatur, GA;  
~~Ye Kegiang~~, Baltimore, MD;  
Judith Kapp, Atlanta, GA;  
Fuqiang Liu, Piscataway, NJ;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/US98/14979 07/20/1998  
WHICH CLAIMS BENEFIT OF 60/057,037 08/19/1997

## Foreign Applications

If Required, Foreign Filing License Granted 11/17/2000

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

Entered Computer 08/14/01 GM  
199298

**Title**

Noscapine derivatives, useful as anticancer agents

**Preliminary Class**

514

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**Data entry by :** SMALLWOOD, EAON

**Team :** 1600

**Date:** 08/06/2001





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231